

Supervisory Grade-Evaluation Guide and Qualification Standard

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Supervisory Grade-Evaluation Guide

Introduction

Purpose of the Guide—Relationship to position management

This guide serves three important purposes:

1. To provide direct guidance in determining the grade value of positions with supervisory responsibilities;
2. To provide a basis for uniformity in distinguishing, along the continuum of supervisory-managerial responsibility, between work leaders, supervisors, and managers; and
3. To provide managers and their staff advisors with an additional analytical tool for use in reviewing organizational structure for position management and control purposes.

These three purposes, of course, are closely interrelated. Proper classification of supervisory positions requires systematic analysis of duties, responsibilities, and qualification requirements, as assigned by competent management authority. Proper organizational arrangements (i.e., the assignment of responsibility and authority for functions, program areas, staff, etc.) requires this same kind of analysis to provide a solid basis for the management decisions which lead to the creation, abolition, or modification of supervisory jobs. Proper selection, training, and intra-management communication require the ability to distinguish consistently, again on the basis of duties and responsibilities, between positions with very limited supervisory responsibility (e.g., work leaders, team leaders, and reviewers), and positions with sufficient supervisory responsibility to be properly titled "Supervisor," and recognized as the front line of management, and positions which need to be recognized as having managerial responsibilities, and as requiring managerial qualifications.

This guide serves these three related purposes by providing definitions of supervisory and managerial positions, with criteria for distinguishing between them, and by providing descriptions of a common set of supervisory tasks scaled as to difficulty. The description of supervisory positions can thus be sharpened and clarified so as to trace more precisely relationships among supervisors in the same and related lines of command. These better descriptions can contribute to effective design of jobs and organizations and to the identification of unwarranted overlapping and fragmentation.

One problem, for example, which has plagued both classifiers and managers has been the assumption that each succeeding organizational layer of supervision automatically warrants an additional grade level.

This assumption can sometimes lead to a proliferation of layers of command beyond a useful management purpose. This guide can help in dealing with this problem because it makes it clear that grade-level differences between supervisory positions at different levels can be justified *only* by reference to actual and substantial differences in difficulty and responsibility. Thus, the guide definitely can result in a supervisory position being properly evaluated at the same grade level as another supervisory position below it in the chain of command. Of course, if this guide casts serious doubt on the need for grade-level difference between two successive supervisory levels, management will want to review the necessity for this particular organizational structure.

Obviously, this kind of relationship will be useful both in reviewing existing organizational patterns and in creating new ones to meet new or changing program requirements.

Definitions

"Supervision" and "management" are rather ill-defined terms which have come to be applied to a continuum of responsibility from the least responsibility for instructing, assigning work to, or reviewing the work of another employee to the direction of the largest organizations and programs of Government. The lower end of the continuum tends to be called supervision, and to relate primarily to the direct oversight of people; the higher end of the spectrum tends to be called management, and relates primarily to the direction of programs and multi-segment organizations. Both supervisory and managerial positions operate within the framework of government and agency-wide policy with respect to programs, organizational and personnel matters and appropriate labor-management agreements.

However, this continuum also represents a significant range of differences in knowledge, skill, and ability requirements, in training needs, and in intramanagement communication needs. It is accordingly necessary to undertake to distinguish the major segments of this spectrum in order to facilitate proper and uniform treatment of comparable positions in personnel and management processes.

Supervisory duties and responsibilities represent a kind of work which, when performed reasonably fully, represents an extension of, and requires identification with "the management" of the organization. Yet many positions involve performance of aspects of this kind of work to such a limited extent that they should not be regarded as part of "management." These may include, for example, positions of work leaders, team leaders, coordinators, or reviewers which involve performing only limited aspects of the defined supervisory duties and responsibilities.

A distinction therefore needs to be made along the continuum of supervisory duties and responsibilities, between positions which have supervisory responsibility to a degree sufficient to require identification with management and those which do not. This distinction is important for such purposes as management training, intramanagement communica-

tion, and determination of executive status under the Fair Labor Standards Act. It is also important that it be spelled out as a background for management decisions on organizing, and on establishing and delegating responsibility to, supervisory positions.

To highlight this difference, this standard restricts the title "Supervisory" to positions that have a sufficient level of supervisory responsibility to be considered part of the management team, as described in the following definitions of managerial and supervisory positions.

Definition of Managerial Positions

Managerial positions are those in which incumbents (1) direct the work of an organization, (2) are held accountable for the success of specific line or staff programs, (3) monitor the progress of the organization toward goals and periodically evaluate and make appropriate adjustments, and (4) typically perform the full range of the following duties and responsibilities:

- a. Determine program goals and develop plans for the organization independently of or jointly with higher management;
- b. Determine resource needs and allocation of resources and account for their effective use;
- c. Determine the need and develop plans for organizational changes which have considerable impact, such as those involving basic structure, operating costs, or key positions;
- d. Consider a broad spectrum of factors when making decisions (or recommendations to higher-level management) including public relations, Congressional relations, labor-management relations, public policy stances, effect on other organizations and other parts of the organization, economic impact, and the like;
- e. Coordinate program efforts with other internal activities or with the activities of other agencies;
- f. Assess the impact on organization programs of substantive developments in programs and policies in other parts of the agency, in other Government entities, and in the private sector;
- g. Set policy for the organization managed in such areas as determining program emphasis and operating guidelines; understand and communicate agency policies and priorities throughout the organization managed;
- h. Deal with general personnel management policy matters affecting the organization manager, with personnel actions affecting key employees, and other actions with possible serious repercussions; and
- i. Delegate authority to subordinate supervisors and hold them responsible for the performance of their organizational units.

"Deputy" positions are included when the responsibility for managing the total organization is divided between the manager and the deputy; or when the deputy serves as an alter ego and assists the manager in all phases of the organization's work.

It is recognized that this definition excludes many positions which require a high degree of expertise in management subjects but which do not include responsibility for *directing* an organization or a subdivision of an organization. The definition excludes:

- General staff assistants to managers;
- Positions at the first or second supervisory levels that primarily involve the duties outlined in the definition of Supervisory positions as distinguished from managerial duties including positions with some but not the full range of managerial duties described above;
- Nonsupervisory positions with responsibility for technical guidance of work performed by contractors, grantees, or personnel in other Government organizations.

Definition of Supervisory Duties and Responsibilities

Supervision involves getting work done through others (i.e., the direction of subordinate employees in the performance of work) with accountability to agency management for the quantity and quality of the work done and for assuring efficient and economical work operations. Supervisory functions include a range of duties and responsibilities for planning, organizing and reviewing work, administering personnel matters, and dealing effectively with employees and union representatives about employee-management concerns. Incumbents with supervisory responsibilities perform a range of duties such as:

- a. Assign, direct, and review the work of subordinate employees;
- b. Plan and carry out the training and development of employees;
- c. Evaluate employees' work performance;
- d. Recommend selections, promotions, status changes, awards, disciplinary actions, and separations;
- e. Plan, schedule, and coordinate work operations;
- f. Solve problems related to the work supervised;
- g. Determine material, equipment, and facilities needed;
- h. Explain and gain the support of employees for management policies and goals (for example, cost reduction and safety);
- i. Work to achieve the objectives of Government-wide personnel programs and policies (e.g., labor-management relations and equal employment opportunity); and
- j. Deal effectively with employees and union representatives on employee suggestions, complaints, grievances, and other matters involved in the day to day administration of labor-management agreements, sometimes including labor-management contract negotiations.

Some supervisory positions also include responsibility for advice to management on and participation in the:

- Establishment of program and production goals, priorities, and major work schedules;
- Development of cost and budget analyses or forecasts; and
- Determination of long-range manpower requirements.

Titles

Positions which involve supervisory duties and responsibilities (as defined above) with respect to three or more employees (exclusive of "support" employees), whose supervisory responsibilities meet or exceed Degree B on elements 1, 2, and 3 of Factor II under Part I, or Degree B on Factor II of Part II, shall be titled "Supervisory."

Exclusion from Titling as a Supervisory Position

1. Positions with responsibility for work assignments requiring only one or two other workers or with supervisory responsibility only in the absence of the regular supervisor. Such positions have as their primary responsibility personal work accomplishment. Responsibility for work assignments involving one or two other persons is not sufficient to warrant identification of a position as supervisory.
2. Positions with some supervisory duties and responsibilities but less than that described for "Degree B" in Factor II of Part I and Part II of this guide.

Coverage of the Guide

This grade-evaluation guide is for use across occupational lines for positions that include responsibility on a regular and continuous basis for directing other employees in the accomplishment of work.

This guide provides grade level criteria for supervisory positions at the first and second levels. Also covered by this guide are first and second level supervisory positions that have some aspects of managerial responsibilities, but not the full range as identified in the preceding section, "Definition of Managerial Positions." The terms "first" and "second" level of supervision and "managerial" reflect the nature of the accountability of the position rather than the mere location of the position in the supervisory chain of command.

Differences in supervisory assignments reflect differences in programs, staffing patterns, or other organizational or operational requirements. They result from decisions of higher management on the way in which supervisory or managerial authority and responsibility are to be delegated. However, some responsibilities, such as planning work assignments, training, and evaluating employees, and recommending action in personnel management matters, are common to supervisory assignments at all levels.

First-level supervisors are the members of management with whom the average employee has the most direct or regular contact, and who can provide higher level management with information and insights into employee feelings, attitudes, and behavior. Conversely, first-level supervisors are the focal point in communicating the policies and objectives of management to employees. They stimulate, motivate, and instill in employees a sense of participation in achieving management's goals. They are responsible for the efficient and economical operation of the organizational unit.

Second-level supervisors are responsible for directing an organization through subordinate supervisors. Their duties and accountability are described at Degree D in Part I, and Degree A in Part II.

Some positions with important supervisory responsibilities are not appropriately covered by this guide. Such positions are identified in the "Exclusion" Sections in Part I and Part II. Among the exclusions are supervisory positions whose evaluation requires the use of separate supervisory standards set forth in terms specific to an occupation.

The issuance of this guide eliminates, or reduces the need for, descriptive material on supervisory functions in individual occupational standards. Therefore, only a few separately published classification standards now provide such material for positions in which the supervisory work is paramount.

Organization of the Guide

This guide is divided into two parts. The coverage of each part is comprehensively defined within that part. Broadly speaking, Part I deals with positions which involve supervision of types of work which are classifiable at one-grade intervals through GS-8. Part II deals with positions which involve supervision of types of work which are classifiable at two-grade intervals, and at one-grade intervals where the base level of work is GS-9 or above.

Series Determination

This guide is not intended to affect current practice regarding series classification. Positions classified as to grade by means of this guide will continue to be classified to the most appropriate classification series in accordance with definitions published in the Commission's "Hand-book of Occupational Groups and Series of Classes" and amplifying material in published classification standards.

Supervisory Grade-Evaluation Guide

Part I

Coverage

Part I is for direct use in the evaluation of positions of supervisors, regardless of level in the supervisory chain, which meet the following criteria:

1. The paramount responsibility of the position consists of the supervision of three or more employees (exclusive of "support" employees) engaged in work which is properly classified at one-grade intervals, provided the creditable level of work under Factor I is not above grade GS-8. Included, for example, are supervisors of clerical work, office machine operation, communications equipment operation, one-grade interval technician work, protective and custodial work, etc.
2. As a minimum, the duties and responsibilities of the position match at least the scope of Degree B on elements 1-3 of Factor II.

Exclusions

The grade-level criteria in Part I are not for direct application to the following positions:

1. Positions with responsibility for work that is not primarily accomplished through the subordinate staff, or that involves fewer than three subordinates. Such positions reflect a situation in which the *primary* responsibility is nonsupervisory, i.e., personal work accomplishment. They should be classified primarily on the basis of their nonsupervisory responsibilities in accordance with appropriate subject-matter standards.
2. Positions having the full range of managerial functions as delineated in the "Definition of Managerial Positions" in the introductory section.
3. Positions which involve supervision of research or other professional and scientific work, or of administrative or technical work falling in series in which positions are properly classifiable at two-grade intervals, or work classifiable at one-grade intervals with a base level of GS-9 or above.
4. Positions which involve "staff-type" technical guidance of employees or organizational units not under the direct line control of the incumbent.
5. "Assistant chief" positions. The factor and element values and grade conversion table in this part are not geared to their direct evaluation. Such positions may be classified in relation to the position of

the "chief," or supervisor of the unit. Ordinarily, where the "assistant chief" is a full assistant to the chief, occupies a position in the direct supervisory line, and shares in, and assists the chief with respect to, all phases of the unit's work, the "assistant chief" position will be one grade lower than that of the chief.

6. Positions involving supervisory responsibilities that also entail the personal performance of duties which are quite different in kind or level from the work supervised and/or which are not a part of normal supervisory responsibilities. For example, a supervisor of accounting clerical work may personally and individually perform certain assignments involving professional accounting; or a supervisor of a unit may have responsibilities for advice to management which are personal and not necessarily a part of supervising the unit. Positions involving such responsibilities should be treated as mixed positions; the supervisory responsibilities may be classified by this guide, while the additional duties which the incumbent performs personally should be evaluated separately on their own merits.
7. Supervisory positions in series for which current classification standards provide specific grade-level guidance for supervisory positions.

Concept and Plan for Part I

Reduced to simplest terms, the classification of supervisor positions under this part involves determining what increment over the grade level of the work supervised is appropriate for the additional responsibility assumed by the supervisor. (In the case of supervision of very low grade work, minimum grades are established for defined degrees of supervisory responsibility.)

Therefore the guide provides for a determination of the base level of work supervised. Then it provides for a determination of the number of grades to be added to this base level to reflect properly the kind and degree of supervisory responsibilities and problems which characterize the work assignment.

Elements which determine the appropriate increment over the base level of work supervised are grouped into three factors: *The kind and degree of supervision exercised; the scope and variety of operations supervised; and special additional responsibilities.*

The kind and degree of supervision exercised relates to the extent to which the supervisor is required to perform, and is held responsible for, the many elements of work planning and organization, work assignment and review, supervisory personnel functions, and technical responsibility which comprise the total supervisory pattern.

The scope and variety of operations supervised is the factor which relates to the size and workload and variety of work and activities of the organization supervised.

Under *special additional responsibilities* are considered such items as problems which stem from supervision of shift operations, from large and

frequent fluctuations in work force, from constantly changing assignments and deadlines, from dispersion of work force, and from special staffing situations.

Scales for *Factor II, Kind and Degree of Supervision Exercised*, for *Factor III, Scope and Variety of Operations Supervised*, and for *Factor IV, Special Additional Responsibilities*, provide the means for determining the values of these three factors. Values for these factors are expressed in terms of points assignable if the factors, or their elements, meet designated conditions. These points are then converted into the number of grades to be added to the base level of work.

For positions covered by Part I, such a system of points, and conversion of points to grades, seems to be the most practical way of systematically relating and reconciling the many variables of supervisory situations into a consistent set of grade evaluations. However, the fact that judgments regarding these elements are quantified should not obscure the fact that they are *judgments*.

Neither should the classifier lose sight of the fact that the situations described are *norms*, or *statements of concepts and intent*, rather than absolutes.

Sound classification judgment, rather than rigid and slavish arithmetic, should still be the basis of evaluations. For example, several criteria are given for determining the number of "kinds of work" present in the job. The intent of this element is to credit the additional breadth of knowledge required to supervise dissimilar kinds of work. Classification series are not, of course, all equal in breadth of coverage, nor does the presence of work falling within a particular series necessarily imply that the job involves the full range of knowledge typical of the series. Thus, good classification judgment may determine that elements of two or three very closely related series may represent essentially one "kind of work" (especially if each element covers only a narrow band of the series), or that two job elements within one broad series may represent two "kinds of work" if sufficiently dissimilar and if a sufficient breadth of different subject-matter knowledge is required.

Similarly, in relating staff to workload, the standard implies that the present staff-workload ratio may be accepted as a base. However, abnormal staff-workload ratios, if blindly accepted, could tend to distort grades. While classifiers do not have responsibility for determining staff-workload ratios, they must be alert to the effects that any known overstaffing or understaffing may have on application of this standard. Where there appear to be marked incongruities between workload and staff, the situation should be clarified before application of this guide.

Exercise of judgment may be required in weighing the value of other elements, such as "full and final technical responsibility," or "constantly changing assignments and deadlines," against the intent of the guide. When a position is borderline in two elements, they may be balanced against each other by crediting one and not crediting the other.

Factor I.—Base Level of Work Supervised

The intent of this factor is to identify the highest level of "line" or productive work which constitutes a significant proportion of the work under the technical supervision of the position being evaluated. The base level of work supervised will be the highest actual grade of a substantial proportion of the nonsupervisory positions in the unit. In some instances, however, job dilution may result in a situation in which none of the nonsupervisory jobs are classified at the full performance level of work which is present in the unit. In such cases, a "constructed" level, as determined under 3, below, will be used.

To Determine Base Level of Work—

1. Identify the different kinds of work represented among the "line" jobs of the unit.

A "kind of work" usually will be equivalent of a classification series. However, this does not apply to such broad series as GS-301 or GS-501 which, by definition, may include work throughout the range of an entire occupational group. More than one "kind of work" may be identified for a series or position when separate elements comprise distinct and separate blocks of work, and require substantially full qualification in distinctly separate areas, or full knowledge and understanding of rules, regulations, procedures and subject matter of a distinctly separate area of work.

Some positions appropriately classified by this guide may also have responsibility for work covered by the Federal Wage System. Although such wage grade work would not be identified as a "kind of work" for base level determination, it may be credited for variety under element 2 of Factor III. For wage grade positions a "kind of work" is represented by the broad trade or craft such as automotive mechanic, carpenter, or plumber; the various specialized series of the trade are not to be recognized as separate "kinds of work."

Work in the following categories should not be identified as separate "kinds of work" for base level or variety determinations:

- Work in individual positions that may have elements which can be related to more than one classification series when such positions involve performance of a homogeneous, integrated assignment.
- Work in a series which is wholly contained within some other specific series. For example in a unit performing time, leave and payroll work only the Payroll Series should be recognized rather than separately recognizing the Time and Leave Series and the Payroll Series.
- Work in wage grade occupations which are ancillary to a trade or craft (e.g., helpers, laborers, etc.).

"Line" positions are positions directly engaged in performing the work for which the unit was established, such as voucher examiners and payroll clerks in a Payroll and Voucher Unit. "Support" positions, which are to be distinguished from "line" positions, are those which perform facilitating services to the unit, such as stenographers or file clerks in a

Payroll and Voucher Unit. However, stenographers would represent "line" positions in a Stenographic Pool, while file clerks would represent "line" positions in a Files Unit.

2 Find, for each kind of "line" work, the highest-graded non-supervisory position or positions over which the positions being evaluated has technical supervision.

3. Ascertain whether the grades of the positions identified under 2 (above) for each kind of work represent the appropriate grades for full performance, under normal supervision, of such work as it occurs in the unit. Note: By "normal supervision" is meant a level of supervision which is neither close and detailed, nor so minimal as to demand an extraordinary degree of personal independence and responsibility which is not normal to the nature and variety of work performed. When base work is at a very low grade level, and the work is so standardized or so circumscribed as to offer little or no opportunity for use of judgment, "normal supervision" may be equivalent to "immediate supervision." Above the lowest grade levels, "normal supervision" represents the level commonly called "general supervision," at which employees are expected to receive assignments without detailed instructions and to carry them through to completion with substantial independence. They may consult their supervisor on problems, and the finished work may be subject to either spot-check or full review, depending on the type of work and the circumstances. In either case, the employees are considered to be operating at the "full performance level" for the kind of work they are doing.

Constructed Grade:

In some cases, where there has been considerable subdivision of work assignments, or where the entire staff of a unit is in training, it may be found that the full performance level of one or more kinds of work is not reflected in any established nonsupervisory position. In such cases, a hypothetical or constructed grade may be determined which represents the grade which would be appropriate for a position performing, under normal supervision, the full range of that kind of work as it occurs in the unit. This constructed grade may be used as the base level for that kind of work. Variety of work within a classification series may be considered in arriving at a constructed grade. Variety which involves work in more than one classification series is not to be used in building hypothetical grades for this factor, but is to be credited under Factor III.

4. The base level of work will be the highest level of nonsupervisory work under the direct or indirect supervision of the position being evaluated when such work meets the following criteria:

—It represents a significant portion of the total work of the unit. Work at a particular level represents a significant portion of the total work of a unit when:

- a. Such work constitutes more than half the work of at least two of the full-time positions supervised, and

c. About 25 percent or more of the subordinates are at least at that level;

- The supervisor is responsible for technical and administrative supervision over the work; and
- The grade level is not based on extraordinary independence or freedom from supervision, or is not dependent on a sharing of the supervisor's supervisory responsibility such as assistant supervisors, work leaders, or reviewers.

Factor II.—Kind and Degree of Supervision Exercises

This factor is intended to measure the degree to which the supervisor whose position is being evaluated is actually responsible for the various facets of technical and administrative supervision, as involved in such things as work planning and organization, work assignment and review, and the exercise of supervisory personnel functions.

For the most part, the kind and degree of supervisory responsibility exercised, as expressed in elements 1-3, below, also expresses the extent of supervision received from above and the extent of the incumbent's technical responsibility for the work product. However, in some cases, a position may entail an extraordinary degree of technical responsibility in the subject area, which is not comprehended under elements 1-3. Such a degree of technical responsibility is given separate weight under element 4.

This factor is divided into four elements as follows:

- Element 1—Work Planning and Organization;
- Element 2—Work Assignment and Review;
- Element 3—Supervisory Personnel Functions; and
- Element 4—Full and Final Technical Responsibility.

To Evaluate Factor II—

Compare the responsibilities of the position being evaluated, element by element, with the three defined degrees of each of the first three elements below. For each element in which the position matches defined Degree B, C, and D assign 3, 5, and 7 points, respectively. Since the guide does not provide for the crediting of intermediate points, the highest degree should be chosen for which substantially all duties and responsibilities listed for that degree are performed. Not all degree levels may be discernible in a given organizational unit.

Degree D provides credit for additional supervisory responsibilities and decision-making authority that exceed Degree C on elements 1-3. Such responsibility involves supervising an organization through one or more levels of subordinate supervisors whose supervisory responsibilities match Degree C on elements 1-3 of Factor II.

Degree D does not automatically apply to the second layer of supervision in the hierarchal structure. Rather Degree D contemplates that subordinate supervisory positions will be delegated the degree of authority and responsibility described at Degree C for at least two of elements 1-3 of

this factor. In some organizational segments the kind of duties and degree of authority described at Degree D may not be encountered before the third or higher layer of supervision. Note: The terms "first" and "second" level of supervision reflect the nature of the responsibilities and accountability of the position rather than the mere location of the position in the supervisory chain of command.

In assigning points to elements 1-3 of Factor II for positions of supervisors over other supervisors, the following criteria should be applied:

1. Positions which do not match at least Degree B on elements 1-3 are not "supervisor" positions and should not be treated as a level of supervision. (See the standard for work leader positions.)

2. An assistant or one subordinate supervisory position does not constitute a level of supervision. Such positions are typically an extension of the supervisor's own responsibility.

3. The responsibility and authority of a supervisor over two or three supervisors of small units (e.g., each with 3-5 employees) would not exceed the scope and difficulty for planning, organizing, assigning and reviewing work, and personnel administration beyond that described at Degree C on elements 1-3.

4. To warrant Degree D on elements 1-3 the organization supervised as a minimum must be comprised of three or more units with subordinate supervisors whose duties, responsibility, and authority match Degree C for at least two of elements 1-3. Typically, each unit consists of a moderate or large number of employees (e.g., 9 or more).

Element 1: Work Planning and Organization

Degree B: (3 points) Supervisors at this level have authority to plan work schedules, and sequence of operations on a weekly, monthly, or project-to-project basis to meet the general schedules, priorities, and requirements established by higher levels of supervisor.

Degree B supervisors carry out such responsibilities as:

- Plan work schedules and sequence of operations on a weekly, project, or longer basis to assure an even flow and distribution of work, the expeditious handling of priority cases and the meeting of schedules and deadlines;
- Revise work schedule to meet changes in workload considering factors such as peak loads, availability of manpower, and processing time requirements;
- Coordinate with representatives of other units concerning matters of work accomplishment, priorities and procedures;
- Plan for sufficient amount of supplies;
- Make recommendations concerning the maintenance or replacement of equipment and the maintenance and safety of facilities; and
- Prepare workload and production reports as necessary and report on highlights of operations and problems in meeting work schedules to higher level supervisor.

Degree C: (5 points) In addition to planning the assigned work to meet schedules and deadlines for regular and peak loads and priority cases, supervisors at this level have authority to plan for and make changes in the organization of work for designated functions to achieve efficient and economical operations within allowable costs, staffing levels, and policies established by higher levels of supervision. In organizations that have several large units performing similar work, this authority may be exercised by serving on task or work groups, established to develop work plans and organizational changes.

Degree C supervisors carry out such responsibilities as:

- Make changes in organization of work or assignment of functions to positions to improve work flow and services rendered, promote job satisfaction, increase productivity, etc.;
- Recommend and justify to higher authority changes that may increase costs or jeopardize the status of employee's tenure, limit services rendered, or affect work outside own unit;
- Prepare plans to meet substantial changes in workload and propose and justify revisions in staffing levels, work priorities and deadlines;
- Coordinate with representatives of other units to work out changes and problems that affect outside organizations; and
- Develop and report to higher levels of supervision estimates of budget requirements based on past experience, anticipated workload and the production capability of the unit.

Degree D: (7 points) In addition to the authority to make changes in the organization of work within allowable costs and established policies as described at Degree C, Supervisors at Degree D have authority to develop plans and schedules for guidance of subordinate supervisors in their organization supervised for the accomplishment of work to meet program goals, objectives and broad priorities established by higher levels of management.

Degree D supervisors carry out such responsibilities as:

- Analyze work requirements and determine staff resources, equipment and other resources needed to accomplish work assignments, and make adjustments among subordinate units as deemed appropriate;
- Establish and adjust long range schedules, priorities and deadlines for regular and special work assignments, and coordinate work schedules among subordinate units; (Long range typically involves planning cycle such as annually or semi-annually.)
- Review, approve, modify, or reject changes in functions, structure, position design, staffing levels, and the like proposed by subordinate supervisors and collaborate with higher levels of management in making decisions relating to major changes in work plans or operations;
- Coordinate work operations among subordinate units and with other organizations for matters that may adversely affect other operations or programs; and

- Review and analyze records and reports of work production, costs, and equipment and staff resource utilization to evaluate progress and to control or reduce costs; report progress and resolution of problems in achieving goals and objectives to higher levels of management.

Element 2: Work Assignment and Review

Degree B: (3 points) Degree B supervisors have authority to determine how the workload should be assigned, processed and reviewed to achieve an acceptable quality level.

Degree B supervisors carry out such responsibilities as:

- Assign work to employees or assign employees to positions; break out tasks as necessary to provide new employees with the experience and training required to perform the work;
- Assign work (including overtime, disagreeable or choice tasks, etc.) among employees equitably;
- Explain work requirements, methods and procedures as needed, giving special instructions on difficult or different operations and answering technical questions about the work;
- Review work in progress or upon completion or spot check work not requiring or susceptible of review, as they deem appropriate to assess the quality and quantity of work produced by each employee; and
- Inform employees about the policies, procedures, and practices of management as they relate to the work of the unit.

Degree C: (5 points) In addition to insuring that work output is of an acceptable quality and quantity as described at Degree B, Degree C supervisors have authority to define the standards for the work and to prepare and issue internal instructions and procedures for its accomplishment.

Degree C supervisors carry out such responsibilities as:

- Assign work to employees or to units or assign employees to positions based on a selective consideration of such factors as difficulty and requirements of assignments; availability, capability and special qualifications of employees; and other resources available;
- Formulate and issue (individually or collectively with other supervisors or specialists) written instructions and procedures and special instructions for non-routine or complex assignments or to clarify published guidelines;
- Set or participate in setting performance standards;
- Review work in progress or upon completion, production reports or other data to ascertain problems in accuracy, adequacy, adherence to procedures, etc. of individuals or units and take corrective action as necessary; or review and accept, amend or reject work for which quality standards have not been established or which may have had a lower-level review; and

- Keep employees informed of management goals and objectives and higher level supervisors informed of employees' participation and concerns.

Degree D: (7 points) In addition to responsibility for defining quality standards and internal instructions and procedures for the work as described at Degree C, supervisors at Degree D have authority to establish operating guidelines for and to coordinate activities of subordinate supervisors relating to such matters as organizational structure, performance standards, and work review and reporting requirements to achieve the goals and objectives established by higher management levels.

Degree D supervisors carry out such responsibilities as:

- Assign and explain work requirements to subordinate levels of supervision for new or changed programs, functions, goals and processes;
- Establish operating guidelines to implement procedures, methods, and other work related changes;
- Study continuing problems in the quality and quantity of work and operating effectiveness and take or recommend necessary corrective actions; and
- Resolve technical work problems not covered by precedents or established policies.

Element 3: Supervisory Personnel Functions

Degree B: (3 points) In addition to providing pertinent information to employees, Degree B supervisors have authority to carry out established personnel functions and practices, and to keep employees informed about important aspects of personnel management programs.

Degree B supervisors carry out such responsibilities as:

- Inform higher level supervisor of anticipated vacancies, increase in workload or other circumstances to obtain replacements, temporary help or additional staff;
- Informally recommend promotions, reassignment, or other status changes of assigned personnel, such as retention or release of probationary employees, step increases, and recognize outstanding performance by recommending meritorious awards;
- Oversee attendance and leave, typically including approval of ordinary sick and annual leave and vacation schedules;
- Resolve informal complaints of employees that are within their jurisdiction, contacting higher levels of supervision, service, or other organization, as appropriate for information and correction of unsatisfactory conditions;
- Direct on-the-job training for employees, broaden employee training and provide back-up skills by cross training;
- Advise employees of the performance requirements of their positions and keep them informed individually of their progress in meeting the requirements;

- Hold corrective interviews with employees and refer disciplinary problems to higher level supervisor;
- Prepare formal evaluation of employee performance or provide appraisals to be incorporated into the formal evaluation;
- Where labor-management agreements exist, deal with union stewards on matters involving action by an immediate supervisor;
- Implement provisions of personnel management programs where well established procedures exist in their installation or organization such as, equal employment opportunity action plans, career development plans, training plans; time, leave, and overtime policies and practices, award and incentive systems; grievance procedures, and safety practices;
- Explain to employees the main features and general procedures of the merit promotion plan, relevant training programs and opportunities, basis for classification of employees' positions and pay changes, counseling and health services, and the like; and seek answers to more technical questions from higher level supervisors or staff specialists; and
- Inform employees about the policies, procedures and goals of management as they relate to the work of the unit and changes thereto; and inform management of employees' participation, suggestions, and reactions.

Degree C: (5 points) In addition to responsibilities for keeping employees and higher level supervisor informed of personnel matters that affect them, supervisors at this level have authority to prepare formal and follow-up actions for most supervisory personnel functions.

Degree C supervisors carry out such responsibilities as:

- Prepare formal requests for filling vacancies or for additional personnel to meet workload requirements;
- Select (or participate with considerable weight in the selection of) employees from lists of eligibles (where large numbers of new employees are hired at one time, selections may be made collectively with other supervisors);
- Prepare formal requests and recommendations for promotions, reassignments, other status changes, or recognition of outstanding performance of assigned employees;
- Prepare position-classification actions;
- Approve and disapprove leave and recommend action in unusual cases;
- Receive formal grievances, resolving those that can be resolved at the first full supervisory level;
- Take disciplinary action as deemed necessary and propose to higher authority a specific disciplinary action consistent with the problem and facts (i.e., suspension, demotion, letter of warning, or removal);
- Formulate training plans for assigned employees; conduct informal training to broaden employee skills and to provide back-up skills by cross training; recommend more formal training when need is apparent; and officially recommend employees for formal training courses;

- Implement specific and general provisions of government-wide and installation programs in the area of equal employment opportunity and employee management relations to assure equal treatment of all employees; and
- Inform employees of all aspects of personnel programs of the installation, either answering their questions on such matters or obtaining information from specialists when more technical answers are required.

Degree D: (7 points) In addition to authority to initiate formal and follow-up actions for personnel functions typical of Degree C, supervisors at Degree D have authority to establish internal guidelines for and approve, modify, or reject personnel actions of subordinate supervisors.

Degree D supervisors carry out such responsibilities as:

- Develop internal programs, plans, and procedures to insure that subordinate supervisors implement the provisions of various Government-wide, agency, or installation programs such as equal employment opportunity, merit promotion plans, career development plans, performance appraisals, counseling services and others to achieve equitable treatment of employees;
- Select or contribute significantly to the selection of key employees (e.g., subordinate supervisor);
- Hear group grievances and serious employee complaints (including those referred from a lower level);
- Review serious disciplinary cases (i.e., those proposing suspensions and removals) and recommend approval or change to higher level management;
- Recommend disciplinary action involving key employees;
- Approve, modify, or reject career development plans, training requests, employee utilization proposals, and similar matters and, typically, estimate and justify resources needed to accomplish plans recommended for approval to higher level management;
- Approve, modify, or reject formal requests prepared by subordinate supervisors for promotions, reassignments, status changes, awards, selections, and the like;
- Prepare formal evaluation of the performance of key employees, and review evaluations prepared by subordinate supervisors; and
- Where labor-management agreements exist, deal with union stewards and others on matters involving action by second-level supervisors.

Element 4: Full and Final Technical Responsibility (4 points)

All supervisory positions which meet Degree C criteria for element 2 of Factor II, "Work Assignment and Review," will have a substantial measure of responsibility for the technical soundness of work which they supervise. This will ordinarily include responsibility for unreviewed decisions on most of the technical questions which arise in the normal course of the work. However, the normal work situation also provides sources to which the supervisor can turn for advice and assistance on the

particularly difficult and out-of-the-ordinary technical problems. There are, however, some situations in which a supervisor is required to assume extraordinary responsibility, without technical advice and assistance, for resolving any and all technical problems which may arise in the work.

When, in connection with work which reaches at least a base level of GS-4, a supervisor is held responsible for all technical determinations arising from such work, without technical advice or assistance on even the more difficult and unusual problems, and without further review except from an administrative standpoint, *4 points* will be credited for *full and final technical responsibility*.

There is no intent in this guide to set "Full and Final Technical Responsibility" so high as to preclude its ever being credited in field positions. However, the intent is to restrict this credit to situations which involve a really *extraordinary* degree of finality of technical responsibility and decisions.

Credit which the guide gives under the first three elements of "Kind and Degree of Supervision Exercised" covers positions with substantial technical responsibility and independence. This provides credit enough for the degree of "finality" of technical responsibility, which will be found in most of the supervisory positions covered, including those which, under loose usage of the term, may be said to serve "under only administrative supervision."

Within any given establishment, and with respect to any one "kind of work," such a degree of responsibility should be neither segmented nor shared. The degree of responsibility which we are trying to identify quickly disappears if there is a technically qualified person within the installation to whom the incumbent can turn for advice and decisions (or if advice can be obtained readily by a phone call or by consulting in the local commuting area). However, if an organization (such as a field establishment) has authority for taking final action in the subject area, if the incumbent is held fully and finally responsible for taking or authorizing that action, and if the operating requirements of the situation are such as to normally preclude seeking technical advice except in rare instances (such advice being obtainable only outside the immediate organization), the necessary *extraordinary* responsibility would seem to be present.

Factor III.—Scope and Variety of Operations Supervised

This factor is intended to measure the extent to which size, and workload and variety of functions of the organization supervised, contribute additional grade weight to the supervisory position.

It is well recognized that, *other things being equal*, the greater the workload and scope of operations supervised, *the more difficult and responsible is the supervisory position*.

The problem in attempting to measure this facet of supervisory jobs is that there is no common denominator which fully holds "other things equal" and provides a valid measure of workload differences. Even within the same kind of work, where workload may be measured by

counting the number of comparable items produced, differences in equipment provided by management, or in other operating conditions, may impair comparability. And, of course, where items produced are not even the same kind (as across occupational lines), there is no common direct measure of workload.

There is, however, a definite and recognized correlation between the scope of a supervisory job and the number of employees needed and provided by management for the accomplishment of that job. It is a truism that an efficiently run statistical clerical operation requiring 30 clerks is a greater supervisory responsibility than an otherwise completely comparable statistical clerical operation requiring only 5 clerks. The problem, of course, is that even here we have postulated equally efficient supervision and organization and equally sound decision by management as to the necessity for the number of employees assigned. These postulates represent assumptions which may not, in all cases, be completely applicable. There may be differences in efficiency of supervision or organization by which one unit can, with fewer employees, carry the same workload as a comparable unit, or, with the same number of employees, carry a larger workload.

In matters of efficiency of employee performance, or effectiveness of management, the classification process can provide valuable information, and assistance. It does not, however, have direct authority and responsibility in these areas. Thus, while classification must avoid placing a premium on inefficiency, it is not, and was not intended as, the vehicle for rewarding efficiency. Other means such as incentive awards, are provided for that. Similarly, while classification must not encourage poor management, it is not, and should not be held, responsible for management's job of assuring efficient and economical operations.

The fact remains that the number of employees furnished by management to do a job is the only readily available common denominator of the supervisory scope of that job. If efficiency of supervisors and management were equal, and if situational differences were fully accounted for, this would be a completely reliable common denominator. Within reasonable norms of supervisory and management efficiency, the differences in size of work force that may arise from supervisory or management differences will be insignificant in comparison to the magnitude of work force differences which would have grade significance. For the purpose of classification, such reasonable norms must be assumed unless there is evidence that a given situation does not conform to the "norm."

For these reasons, after giving separate consideration to the grade level of work supervised and the kind and degree of supervision exercised, and after providing for separate treatment of variety and special additional responsibilities, the size of the work force supervised is treated as *one* pertinent element in the evaluation of supervisory positions. When applied with proper judgment, it is considered the best available index of volume of work and the supervisory and management problems resulting from such volume of work. Application of this size of work force factor should always be conditioned by good judgment as to the existence of a

normal relationship between the work force and the workload and supervisory and managerial problems for which it is taken as an index.

It is also recognized that the variety of work, particularly as such variety calls for distinctly broader knowledges of varied subject-matter fields, contributes complexity to the supervisory job. Consequently, variety of work supervised is treated as element 2 of this factor

Element 1: Size of Work Force Supervised

The table below indicates the points to be credited for various ranges in the size of the work force supervised. No points are credited for the first range of employees supervised because this reflects supervisory responsibility which receives grade credit through other elements of this guide.

Points To Be Credited for Size of Work Force Supervised

<i>Size of Work Force</i>	<i>Points To Be Credited</i>
3- 5	0
7- 12	4
15- 30	8
40- 80	16
100-200	24

Instructions for Use of the Table:

1. For the purpose of the above table, count all employees in the unit or units supervised, regardless of whether they are in "line" or "support" positions. In organizations with a pattern of several substantial fluctuations in the size of the work force during the course of each year, credit a number of employees which represents an overall average of the supervisory load carried for the year. In organizations with a pattern characterized by a very sizable work force increase that is sustained over a number of months in a year (e.g., 5 or 6), credit a number of employees which represents the sustained heavier supervisory load carried during this period.

2. Count part-time employees in proportion to the number of hours worked (e.g., two employees working half time are counted as one employee).

3. If the number of employees falls within a range shown in the table, credit the points applicable to that range. If it falls in the gap *between* ranges, credit the points for the *lower* of the ranges, as shown on the table, but take note of the fact that the position fell in the gap between ranges for possible adjustment as described under *Conversion of Points to Grades*. Use only the specific point values shown.

4. There may be isolated instances in which supervisory positions covered by this part involve supervision of larger numbers of employees than shown in the table. In such instances, additional credit may be given for size of work force supervised. However, determination of the amount of additional credit to be given involves more than an arithmetic projection of the supervisory ranges shown above. As organizations increase in size beyond the ranges shown, the impact of additional

employees diminishes at a much more rapid rate than would be derived by mathematically projecting these ranges. What is required in such instances, therefore, is a determination as to the degree to which supervisory problems are actually compounded by the greater numbers involved. Such a determination is converted to a judgment as to the points to be added.

Element 2: Variety of Work (2-8 points)

Where more than one kind of work, each kind representing a requirement for a distinctly additional body of knowledge, is present in a unit, additional points for variety will be credited. Two points will be credited for the second, and each additional kind of "line" work up to a maximum of 8 points on the following basis:

- In identifying "kind or line of work," use the criteria contained in paragraph 1, Factor I;
- Both technical and administrative responsibility must be exercised over the work;
- The grade level of the work must be at, above or not more than one grade below the base level of work supervised;
- The work of positions which operate with unusual independence, or which do not represent a significant proportion of the work of the unit may be counted for this purpose.

Factor IV.—Special Additional Responsibilities

This factor covers the additional grade value of such elements as supervision of shift operations; fluctuating work force or constantly changing assignments and deadlines; physical dispersion of subordinates and special staffing situations. It is possible that elements other than those identified below can impose special additional responsibilities on a supervisor. However, extreme caution should be used in crediting "special additional responsibilities" not credited in the guide. This caution should include a determination that the extra responsibility is not implicit in factors already credited, and that it truly has grade weight of the value credited to it.

Element 1: Supervision of Shift Operations (4 points)

When the position being evaluated is responsible for supervising activities which are carried on throughout three shifts, or through two fully stated shifts, an additional 4 points will be credited for supervision of shift operations. Credit under this element will not be given in situations where the operation is essentially carried out on one shift, with part of the staff working staggered hours to provide service for somewhat longer than an 8-hour period, or where only a skeleton force may work part or all of a second shift.

Element 2: Fluctuating Work Force

or

Constantly Changing Deadlines (4 points)

a. Fluctuating Work Force:

In some situations, there may be large fluctuations in total work force employed. These significant differences may result from seasonal or other variations in workload. These fluctuations impose on the supervisor a substantially greater responsibility for training, adjusting assignments and maintaining a smooth flow of work while absorbing and releasing large numbers of employees.

Therefore, in circumstances where all the following conditions are present, 4 points may be credited for *fluctuating work force*:

1. There are substantial cyclic fluctuations.
2. Within a period of a year variations in the work force supervised amount to at least 100 percent of the minimum force for that period but not fewer than 10 employees.
3. The number of points credited for *Size of the Work Force Supervised* (element 1 of Factor III) depicts a number of employees which represents an overall average of the supervisory load carried during the year.

There is a direct relationship between the basis for crediting the work force size and the basis for crediting supervisory responsibility stemming from fluctuations. When the number of points credited under element 1 of Factor III denotes the number of employees in the work force during a number of months (e.g., 5 or 6) and constitutes a sustained heavier supervisory load, additional points may not be credited for fluctuating work force. In such a situation the greater number of points assigned for size of work force adequately recognizes the supervisory responsibility derived from absorbing and releasing large numbers of employees.

OR

b. Constantly Changing Assignments and Deadlines:

While almost any work situation will involve problems in regard to deadlines and changes in work assignments and goals, in a few cases these problems are so much greater than normal that they add significantly to the supervisor's responsibility. These are cases in which frequent, abrupt, and unexpected changes in work assignments, goals, and deadlines require the supervisor to be constantly adjusting operations under the pressure of more or less continuously unpredictable, changing conditions. As a general principle, this element will not be credited unless it reflects problems which clearly stand out as *exceptional*. Established and predictable, or unvarying, deadlines or work variations which follow a regular pattern will not be cause for giving credit to this factor. Similarly, peak workloads, changes in procedures, and new work or processes which are (or can be) anticipated will not warrant credit under this element.

Characteristic of the situations this element is intended to cover include changes of deadlines on short notice; unexpected deadlines; or strict deadlines where the workload is highly variable, unpredictable, and uncontrollable; changes in the desired work product which require redoing substantial amounts of work, or redirecting the efforts of the major part of the organization, etc.

When such situations occur with such frequency that the position is found to involve exceptional responsibilities resulting from constantly changing assignments and deadlines *4 points* will be credited if extra credit has not been given for Fluctuating Work Force. Both of these elements will not be credited in the same position, as they are considered to involve generally parallel demands on the supervisor and to require basically similar skills.

Element 3: Physical Dispersion (2 points)

Additional supervisory problems are presented in the supervision of positions which are physically located in widely separated places. When a substantial portion of the work force for which the supervisor is responsible is regularly assigned to one or more locations which are physically removed from the location of the main unit (as in different buildings, or widely dispersed locations in a large warehouse or factory building), under conditions such as to make day-to-day supervision difficult to administer, *2 points* will be credited for *physical dispersion*.

One or two employees should not be considered "a substantial portion of the work force." For purposes of this element, employees, such as timekeepers, messengers, etc., who work out of the same offices as the supervisor, but whose daily duties require circulation, or the making of certain rounds, shall not be considered "physically separated" from the supervisor. However, employees such as guards whose full duties are performed at an assigned post removed from the supervisor *will* be considered as "physically separated" from their supervisor, even though they may report at the start of their tour of duty to a central point for instructions and assignment to a post of duty.

(This element should not be construed as applying to staff-type technical "supervision" of activities which are not under the line control of the incumbent, nor as an implication that such responsibilities are to be classified under this guide.)

Element 4: Special Staffing Situations (4 points)

Supervisors are responsible typically for devising work assignments and conducting on-the-job training for and guiding employees at the trainee level. However, some staffing situations may impose on the supervisor a substantially greater responsibility for job design, job reengineering, work scheduling, training, teaching, counseling and motivating beyond that which is normally encountered in orienting and training new employees in the work. For example, special employment programs such as new careers, work-study, upward mobility, rehabilitation, and others may be geared toward utilizing employees with very low level skills and inappropriate or no work experience. Other staffing situations also may involve exceptionally difficult attitudinal and motivational problems.

Four points may be credited for special staffing situations when the following conditions are present:

—Several positions are used regularly for special employment pro-

- grams, or a substantial portion of the work force is involved (one or two employees should not be considered a substantial portion),
- Job assignments, work tasks, and training must be tailored, in part, to fit these special circumstances for individual employees, and
- Counseling and motivational activities are regular and recurring and are essential to the effective handling of the special situation

Conversion of Points to Grades

The points credited under Factors II, III, and IV, which reflect the degree of supervisory responsibility present in the position, convert, in accordance with the following scale, into the number of grades to be added to the base level of work. However, before a final grade is established for the position, certain further Adjustment Factors are for consideration.

Conversion Scale for Number of Grades to be Added to Base Level of Work for Supervisory Responsibilities

If total of points credited is:	Add
9-11	1 grade
13-18	2 grades
20-27	3 grades
29-38	4 grades
40-51	5 grades
53-66	6 grades
68-up	7 grades

If direct application of the above scale would result in a grade above GS-11 use the following special adjustments:

- Subtract 1 grade from the grade resulting from conversion if that grade is GS-12 or GS-13.
- Subtract 2 grades from the grade resulting from conversion if that grade is GS-14 or GS-15.

This special adjustment is made because the scale for conversion of points to grades in Part I assumes the addition of grades (up to 7 grades may be added), which are based on the breadth, or span, of grades in the one-grade progression (GS-5, 6, 7, 8, 9, 10). These grades are, however, narrower in their individual ranges or spans than grades GS-11 and above. Stated differently, the difference between GS-11 and GS-12, or between GS-12 and GS-13, etc., represents, and always has represented, a full grade in the progression of professional work. As such, these grades are the counterparts in range of the two-grade steps from GS-5 to 7 to 9 to 11. To permit allocations above GS-11 through *direct* application of Part I would equate the grade spans at the upper levels to those at levels below GS-11, and would therefore distort the evaluation scheme.

Adjustment Factors

1. No position which clearly meets the minimum supervisory criteria (which includes at least level B responsibilities on elements 1-3 of Factor II) will be classified below GS-5.
2. No supervisory position which meets the minimum supervisory criteria will be classified less than one grade above the highest subordinate nonsupervisory position over which the incumbent exercises administrative *and* technical supervision.
3. For borderline positions, the final decision between two possible grades should be determined on the basis of sound classification judgment as to the overall worth of the position and in consideration of best alignment with other properly classified positions. A position may be considered borderline in one of the following situations:
 - a. When the total points for Factors II through IV fall in a gap between the ranges specified above for conversion of points to "Grades to be added;"
 - b. When the size of the work force supervised falls in a gap between ranges of the scale provided in element 1 of Factor III, and the total point credits for the position are at the top, or next to the top, value of a range in the Conversion Scale; or
 - c. When the grade results in GS-12 or GS-14 after conversion and the point credits for the position are at the top, or next to the top, value of a range in the Conversion Scale. In such instances the automatic reduction may be modified to either 0 or 1 grade at the GS-12 level and either 1 or 2 grades at the GS-14 level.

SAMPLE POSITION EVALUATION SUMMARY (USCSC SUPERVISORY GRADE EVALUATION GUIDE—PART I)		JOB NO	
INSTALLATION AND ORGANIZATIONAL LOCATION	TITLE		
	PAY CATEGORY	SERIES CODE	GRADE
	DATE	SIGNATURE (Evaluating Authority)	
FACTOR I			
BASE LEVEL OF WORK—TITLE AND SERIES			GRADE GS
FACTOR II—KIND AND DEGREE OF SUPERVISION EXERCISED		POINTS	
1 WORK PLANNING AND ORGANIZATION			
2 WORK ASSIGNMENT AND REVIEW			
3. SUPERVISORY PERSONNEL FUNCTIONS			
4 FULL AND FINAL TECHNICAL RESPONSIBILITY			
FACTOR III—SCOPE AND VARIETY OF OPERATIONS SUPERVISED			
1 SIZE OF WORK FORCE			
NO. OF POSITIONS SUPERVISED BY SERIES AND GRADE			
2 VARIETY OF WORK			
FACTOR IV—SPECIAL ADDITIONAL RESPONSIBILITIES			
1. SUPERVISION OF SHIFT OPERATIONS			
2a. FLUCTUATING WORK FORCE OR			
2b. CONSTANTLY CHANGING ASSIGNMENTS AND DEADLINES			
3. PHYSICAL DISPERSION			
4. SPECIAL STAFFING SITUATIONS			
TOTAL POINTS			
NUMBER OF GRADES TO BE ADDED TO LEVEL OF WORK SUPERVISED			
ADJUSTMENTS (Explain in Remarks Below)			
FINAL CLASSIFICATION			GS-
REMARKS			

Supervisory Grade-Evaluation Guide

Part II

Coverage

This guide is for direct use in the classification of positions which involve supervision of professional or other work properly classifiable in the two-grade interval pattern¹ (i.e., GS-5, 7, 9, 11, 12, 13, 14, 15) *provided* the positions are not excepted from coverage under the "Exclusions" criteria. It is also for direct use in the classification of positions which involve supervision of "one-grade interval" work, the base level of which is grade GS-9 or above.

Organization and plan of Part II

This part is designed to be used in evaluating—regardless of their location in the supervisory hierarchy—all supervisory positions over professional and administrative work which can be evaluated best by reference to the base level of work performed by their subordinates. (Some supervisory positions must be evaluated on other bases and therefore are not covered.)

Study of supervisory positions makes it clear that it is not feasible to rely on a simple analysis which results in a one-grade increment over the highest level of work supervised. While this may give correct results in some instances, supervision is much too complex a function and much too important to organizational success to allow such a simple formula to be used in all situations.

Therefore, in preparing this standard, we have been faced with the problem of providing for a wide variety of unusual circumstances and, at the same time, not overly complicating the evaluation process when a simple and direct method would serve the purpose.

This problem has been met by a grade-determination plan which rests on four factors, with the first two factors assuming major importance in every case in setting the grade. The third and fourth factors come into play for adjustment purposes only as needed and appropriate, based on a comprehensive evaluation of the total situation.

Outline Summary of Grade-Determination Process

—Determine the "Base Level of Work Supervised," Factor I (Pages 40 thru 42).

¹ See Appendix A to Chapter 300 of the Federal Personnel Manual for a list of lines of work properly classifiable at two-grade intervals. The list shows some occupations which include both "one-grade interval" and "two-grade interval" work. Appendix instructions tell how to make the determination for individual types of positions in such occupations.

- Determine “Nature and Extent of Supervisory Responsibility,” Factor II (Pages 42 thru 45).
- Under this factor, a position’s responsibility is either:
 - Degree B, *or*
 - Degree A
- Factors I and II determine a tentative or initial grade. The position may be stronger or weaker than this tentative grade indicates. Therefore, evaluate the total situation to see if there are:
 - Strengthening “Managerial Aspects,” Factor III (Pages 45 thru 47). (Major recommendations, decisions and actions affecting: basic content and character of operations, program planning and evaluation, organizational improvements, relationships with outside groups, economy of operations, and key officials.)
 - Strengthening “Special Additional Elements Affecting Supervisory Work,” Factor IV (Pages 47 thru 50).
 - Changing Work Situations
 - Variety
 - Special Technical Demand
 - Other Special Elements
 - Weakening supervisory or administrative controls.
 - Weakening or strengthening alignment considerations.
 - Other weakening or strengthening environmental circumstances.
 - Span of the grades involved
 - Other conditions
 - Decide whether final grade should be
 - Same as tentative grade
 - Down one level because of weakening elements
 - Up one level because of strengthening considerations (but see if conditions for upward adjustment are met).

Exclusions

“Exclusions,” as used here, refers to the identification of those positions for which Part II is not designed to provide direct and complete grade-level guidance, and positions for which there are other standards which are more particularly appropriate. Part II, of course, may be used in evaluating portions of some of the positions identified as “Exclusions.”

1. Positions in which the degree of supervisory responsibility falls significantly below the level described in Degree B of Factor II. Briefly, Degree B involves supervision of a small to moderate number of employees performing professional, technical or administrative work; important work planning, assigning, overseeing and evaluating responsibilities; and significant responsibilities for supervisory personnel management functions. Positions excluded under this paragraph are further described in connection with the definition of Degree B of Factor II. (See pages 42 and 43.)

2. Supervisory positions above the second supervisory level, i.e., those

which significantly exceed the accountability described for the comprehensive evaluation of Degree A positions

3. Positions at any echelon, having a full range of managerial functions as delineated in the "Definition of Managerial Positions," in the introductory section. For a fuller discussion of such positions and the criteria for exclusion see Factor III "Managerial Aspects." (See pages 45 thru 47.)

4. Supervisory positions in which the paramount requirement is the supervision of trades or crafts positions. Such positions are not subject to the Classification Act. (See Section IV of the General Introduction, Background and Instructions to Position-Classification Standards for guidelines relating to such positions.)

5. Positions engaged in basic or applied research or development in the biological, medical, agricultural, physical or mathematical sciences, in engineering, or in psychology, when the positions involve the direct and personal leadership of an participation in, the activities of a research team or organizational unit, and the basis of selection for the position is competence and capability in the performance of research or development rather than capability in supervising and managing an organization. (See "Research Grade-Evaluation Guide and Equipment Development Grade Evaluation, Part III.")

6. Supervisory positions in series for which classification standards provide specific grade-level guidance for supervisory positions.

7. "Assistant Chief" positions, As in Part I, the material in Part II is not geared to the direct evaluation of such positions. It is always necessary, though, to consider the appropriate grade of the unit chief's position (and the basis for that grade) in evaluating an assistant chief position.

8. Positions which have, in addition to supervisory work which can be evaluated under this guide, nonsupervisory work which is a regular part of the job, requires materially higher qualifications than the supervisory work, and clearly constitutes the paramount responsibility. Such positions are to be evaluated by reference to individual standards appropriate for the work concerned.

Special Note:

Positions involving supervision of professional, technical or administrative work usually have advisory, representational, negotiating and comparable duties—duties which frequently are inseparable from supervision. Sometimes, however, such duties may be essentially nonsupervisory work. Making the distinction may be difficult at times. As a general guideline treat advisory, representational, negotiating and comparable duties as supervisory work if they are an integral part of planning, directing and controlling the work of others. Treat such duties as nonsupervisory if they are *neither* an integral part of the basic work performed by subordinates, *nor* essential to overseeing that work

Factors

I. "Base Level of Work Supervised," involves determining the grade level of nonsupervisory work which is an appropriate reference base for measuring the difficulty and responsibility inherent in supervisory work.

II. "*Nature and Extent of Supervisory Responsibility*," requires ascertaining what components of supervision are present in a position, and what the dimensions of these components are.

III. "*Managerial Aspects*," deals with vital decision-making responsibilities and associated aspects of directing work which are not adequately measured in Factor II.

IV. "*Special Additional Elements Affecting Supervisory Work*," involves consideration of other elements which make supervisory work substantially more difficult and responsible—elements not reflected or credited in evaluations under the first three factors.

Factor I. — Base level of work supervised

The intrinsic difficulty and worth of supervisory positions covered by this guide is directly related to the difficulty and worth of the work performed by those supervised. Since subordinate positions often require performance of work at several levels of difficulty and responsibility, it is necessary to determine that level which best serves as a meaningful base for measuring the "work supervised" dimension of a supervisory position. This level is called the "base level"; it is defined below and expressed as a grade.

Nonsupervisory work performed by subordinates which is above this base level should be evaluated by reference to Factor IV, "*Special Additional Elements Affecting Supervisory Work*".

"Base Level" Definition

The base level of work supervised is the grade of the highest level of *nonsupervisory* substantive work under the direct or indirect supervision of the position being evaluated. Substantive work is that which directly furthers the purpose for which the unit is established. Thus, in a unit with a "staff" or "auxiliary service" function, the substantive work of the unit is the performance of that function. A budget analyst in a budget office is doing the substantive work of that unit; a budget analyst in an engineering office is *not* doing the substantive work of that unit. The work identified as the base level must meet the following criteria:

- (a) It represents a significant portion of the total substantive work of the immediate unit in which it appears. Work at a particular level represents a significant portion of the total substantive work of a unit when:
 - (1) Such work constitutes more than half the work of at least two of the full-time positions supervised; *and*
 - (2) About 25 percent or more of the professional, technical, or administrative positions engaged in that substantive work are at least at that level;
- (b) It requires of the immediate supervisor substantial and recurring use of technical skills of the kind typically needed for directing work at that level, in addition to the use of supervisory skills common to all supervisory positions; *and*
- (c) It is not based on a degree of extraordinary independence or freedom from supervision.

Constructed Grades

In some cases it may be necessary to establish a constructed grade level in order to determine the base level of work supervised.

In units where there are trainees performing work in professional or other "two-grade interval" occupations in which nontrainee positions are normally classifiable at a higher grade level, the full performance level for such work may be projected to arrive at a constructed grade level.

There may be instances other than those involving trainees where the regular performance level for some work performed in a unit is not reflected in grade levels of established positions. For example, this may occur where a unit regularly carries out projects which by reference to appropriate standards, are typically handled by incumbents of GS-12 positions, but because of circumstances such as inability to recruit qualified individuals at the GS-12 level, or the need for further development of current staff members, such projects are assigned to incumbents of GS-11 positions under greater-than-normal assistance and guidance. A constructed grade level representing the regular performance level (GS-12 in the example) may be used in situations such as this.

Grades Which are Inappropriate for Base Level Consideration

The base level of work should not be determined by reference to grades of subordinate positions in cases in which such grades depend primarily on:

- (a) A sharing of the supervisor's responsibility for planning, reviewing and/or coordinating work;
- (b) The "impact on the job" of a particular incumbent, rather than on a level of work which is normal for the job.

Factor II.—Nature and extent of supervisory responsibility

Under this factor, two degrees of responsibility are defined—Degree B and Degree A. Degree definitions are expressed in terms of scope and kinds of duties and responsibilities involved in directing subordinate workers, and in dealing with personnel management matters affecting such workers. The definitions include a criterion regarding the relative size of the work force performing work in professional, technical, and/or administrative occupations which is substantive as defined in Factor I. Include in this count positions established by reference to two-grade interval work or GS-9 or higher one-grade interval work. However, *supporting* technician positions in one-grade interval occupations may be counted as performing technical work.

For both Degree B and Degree A there is an underlying assumption that the supervisory position being evaluated receives general direction and guidance from a higher ranking supervisory position. Under such supervision, outlines of the work to be accomplished by a unit, general target dates, objectives, and major problems anticipated may be initially discussed by the higher supervisor. The higher official may be consulted on the more difficult and controversial problems encountered. A continuing general review of completed work is made by the higher supervisor to

insure accomplishment of objectives. The higher official may engage in quality control reviews of individual work products, but apart from this, he does not normally give a technical review to work products except for those which may have out-of-the-ordinary impact, may be controversial, or may set a precedent.

This section also describes, under Degree B, the criteria for excluding positions whose supervisory responsibilities are not sufficient for direct evaluation under the plan for this guide.

Degree B

Degree B encompasses a broad range of supervisory responsibilities exercised over a small to moderate number of employees (e.g., 5 to 12), *but at least three*, engaged in substantive professional, technical or administrative work. *Degree B always includes responsibility for insuring timely performance of a satisfactory amount and quality of work, and duties of reviewing work products of subordinates and accepting, amending or rejecting work.* It also involves *at least* three of the first four, and six of the eight following duties and responsibilities:

1. Planning work to be accomplished by subordinates. Setting priorities and preparing schedules for completion of work;
2. Assigning work to subordinates based on priorities, selective consideration of the difficulty and the requirements of the assignments, and the capabilities of employees;
3. Evaluating performance of subordinates;
4. Giving advice, counsel, or instruction to individual employees on both work and administrative matters;
5. Interviewing candidates for positions in his unit. Making recommendations for appointment, promotion, or reassignment involving such positions;
6. Hearing and resolving complaints from employees. Referring group grievances and the more serious complaints not resolved to higher level supervisors;
7. Effecting minor disciplinary measures such as warnings and reprimands. Recommending action in more serious cases;
8. Identifying developmental and training needs of employees. Providing or making provision for such development and training.

Positions With Supervisory Responsibilities Lower Than Degree B

A position which does not meet the minimum criteria specified above for Degree B, does not have a sufficient level of supervisory responsibility to be directly evaluated by this guide. Such positions must be evaluated through considering standards and criteria not described in this guide; the total evaluation, however, may include appropriate reference to this guide for aspects which are supervisory.

Degree A

Degree A supervisory responsibility is substantially greater than Degree B. On an overall basis, it is characterized by *all* of the following:

- The necessity to use some subordinates in guiding and controlling work;
- Especially significant responsibilities in dealing with officials of other units or organizations;
- Important responsibilities in advising higher supervisory and management officials not covered by this guide;
- Clearly greater personnel management responsibilities than those typical of Degree B;
- Direction of a sizable work operation.

Typically, Degree A positions involve direct and indirect supervision of a moderate to fairly sizable number of employees (e.g., 15 to 30) engaged in substantive professional, technical or administrative work. Typically, the unit supervised is divided into sub-units each with its own supervisor.

Degree A positions will involve most or all of the duties described for Degree B, and typically, *in addition*, the following:

1. Making decisions on work problems presented by subordinate supervisors;
2. Collaborating with heads of other units to negotiate, decide on, and/or coordinate work-related changes affecting other units;
3. Advising officials with broader and higher responsibilities on problems involving the relationship of the work of the unit supervised to broader programs, and its impact on such programs;
4. Evaluating supervisors and reviewing evaluations made by supervisors on other employees;
5. Making selections for nonsupervisory positions; recommending selections for supervisory positions;
6. Hearing group grievances and serious employee complaints, or ones not resolved at a lower level; reviewing serious disciplinary cases (i.e., those proposing suspensions and removals), and disciplinary problems involving key employees;
7. As needed, consulting with specialists on training needs, and deciding on training problems related to the units supervised.

Positions involving the supervision of about 15 or more employees in situations not requiring the establishment of two or more subordinate fully supervisory positions may be in Degree A *provided* that such positions involve supervisory work equivalent to that represented by the typical duties and responsibilities described above. Such positions, for example, may involve the utilization of two or more subordinates in guiding and controlling work matters; serving as highly responsible advisor to program managers; and overall responsibilities in selection, training, grievance and disciplinary matters that approach that described in Items 5 through 7 above.

Factor III.—Managerial aspects

This factor measures aspects of directing and accomplishing work which involve difficulties and responsibilities not adequately measured in Factor II. These aspects involve major recommendations and actions which have a direct and substantial effect on the organization and programs managed, of the type shown in the following categories:

Category No. 1: Major decisions affecting the basic content and character of the operations directed

These decisions involve matters such as:

- What programs or major projects should be initiated, dropped, or curtailed;
- How much resources to devote to particular projects (when man-years and a significant portion of a unit's budget is involved);
- The timing of initiating, dropping, or curtailing particular programs, or major projects;
- What changes in emphasis need to be made in programs or parts of programs.

Category No. 2: Basic program planning and evaluation activities

These managerial activities involve decisions and actions related to such matters as:

- Long-range planning in connection with prospective changes in functions and programs;
- Periodic and comprehensive evaluation of program goals and objectives;
- Adjustments or redefinition of broad objectives.

Category No. 3: Decisions on organizational improvements

This category involves decisions on matters such as:

- Desirability of changes in organizational structure, and the particular changes to be effected;
- Desirability of changes in delegated authority, and the particular changes needed;
- Measures for improving coordination among subordinate units;
- Control measures needed to provide data for management.

Category No. 4: Decisions which have an impact on relationships with other groups

This category involves decisions on:

- What compromises to make in operations in view of public relations implications and need for program support from various groups;
- How to maintain effective relations with a variety of groups interested in the program.

Category No. 5: Decisions substantially affecting economy of operations

This category involves matters such as:

- Means of substantially reducing operating costs without impairing overall operations, e.g., methods improvements, sampling, automation, etc.;
- Justifications for major expenditures for equipment, facilities, etc.

This category involves matters such as:

- Resolution of differences between key subordinate officials, i.e., those with responsibilities for important programs;
- Selections, disciplinary actions, and other conclusive personnel actions involving supervisors and other key officials.

Supervisory positions vary a great deal in the degree to which they have managerial aspects which contribute to the grade determination. In some positions such aspects are insignificant. In many others, they are of limited significance. In still others, they may be sufficient to influence the final grade. A position covered by the guide *has significant managerial aspects* when it is concerned with matters of the type described in *at least three* of the managerial categories above.

Excluded Managerial Positions

Some positions at the first and second supervisory levels have managerial responsibilities great enough to exclude them from coverage by this guide. Positions at these levels are excluded on this basis, however, only if they have managerial responsibilities entailing making decisions and recommendations on matters of the type described in *at least five* of the managerial categories above under circumstances in which such decisions and recommendations have a direct and substantial effect on a program, *and* only if these responsibilities are so important a part of the job that the ability to carry them out is essential to satisfactory performance in the job.

Such positions are excluded because the grade-evaluation plan of this guide is not designed for them. The intrinsic worth of such positions probably depends heavily on factors other than base level of work supervised. Such factors include the nature of the total program or complex of activities, the magnitude of resources utilized in the program, the total results expected, the consequences of management decisions made, etc. Therefore, in evaluating such positions it would be more appropriate to treat these factors directly rather than to use the base level of work supervised as a starting point. Since these factors tend to be highly specific to a given organizational and program setting, it is not practical to attempt to deal with them in this kind of general guide.

Factor IV.—Special additional elements affecting supervisory work

This factor deals with those special elements, conditions, or situations which may make supervisory work substantially more difficult or responsible, and the true effect of which has not been measured in Factors I, II, or III.

The following elements may be considered in the final grade-determination process if the position being evaluated meets the criteria defined below:

Element No. 1: Changing Work Situations

This element contemplates situations which place unusual demands on a

supervisor because of frequent and substantial changes in the volume of work, the kinds or substance of work, and/or deadlines set for completion of work.

To credit this element all, or substantially all, of the following conditions should be present:

- (a) The time (approximate date) of such changes cannot be accurately predicted;
- (b) The changes substantially affect resources needed, and those resources cannot be accurately estimated;
- (c) The changing work situations require frequent and substantial reprogramming, rescheduling, and/or reassignment of work;
- (d) The incumbent makes, or participates in making, many decisions as to impact of changing priorities; as to which work to defer in order to comply with new urgencies; as to whether to "farm out" work or secure employees by temporary detail; or comparable decisions;
- (e) The changes require almost constant attention to work progress, and to adjustments in plans and schedules;
- (f) The situations are such that they demand of the incumbent such qualities as exceptional adaptability, special skills in planning, ability to act quickly, and ability to withstand considerable and continuing pressure.

Element No. 2: Variety

This element is designed to credit situations placing upon a supervisor a substantial demand for a variety of technical knowledges when that variety has not already been credited under Factor I; that is, this element is intended to credit variety which has made the job of supervision more difficult, but which has not influenced the grade of the base level work under Factor I.

Variety may be credited only when *all* of the following conditions are present:

- (a) To perform his supervisory duties the incumbent is required to have an extensive understanding of, and intimate familiarity with, the principles, methods, and techniques of two *markedly different specialized areas of work*¹ classifiable at or above the GS-9 level.

¹ One specialized area of work is "markedly different" from another if *both* of the following conditions are present: (A difference in series or in specialization does not of itself give conclusive evidence of marked difference.)

- (1) The supervisor must apply a knowledge of different principles, methods, and techniques for each of the specialized areas (in addition to applying a knowledge of the principles, methods and techniques which may be common to both specialized areas).
- (2) Ordinarily, persons qualified in the one specialized area cannot be assigned to a position at the same level in the other area and perform satisfactorily the full duties of the position without substantial additional training (*one year or more*).

- (b) In *each* of two markedly different specialized areas, there is at least two, or the equivalent of two, subordinate employees performing, on a substantially full-time basis, nonsupervisory work classifiable at or above the GS-9 level.
- (c) In each of at least two areas, the level of the nonsupervisory work is no lower than the base level of work supervised.

Variety may *not* be credited for work performed by a subordinate when the supervisor cannot and does not effectively determine the quality of the work through use of the qualifications mentioned in Item (a) above.

Element No. 3: Special Technical Demand

This element is designed to evaluate an important aspect of difficulty in supervision not measured elsewhere in this guide. It concerns an added requirement for knowledge, understanding, and ability with regard to the work supervised. The base level determination (Factor I) provides a general measure of the knowledge, understanding, and ability required by a supervisor to oversee the work for which he is responsible, i.e., it recognizes that the supervisor must have that level of knowledge and understanding of the work which will enable him to make a review for substance of work *at the base level grade* and make decisions on accepting, rejecting or modifying that base level work. Element No. 2, "Variety," recognizes another dimension of difficulty in supervision not reflected in the base level determination. However, neither the base level nor the variety valuation measures the technical demand (i.e., the requirement for work-related knowledge and ability) that comes into play when there is one or a very few positions above the base level (i.e., when there is higher level nonsupervisory work that (a) does not constitute a "significant portion" of the line work of the unit supervised, or (b) requires substantial and recurring use of higher technical skills *and* of supervisory skills).

This element is not designed to give recognition for subordinate positions above the base level that do not really place upon the supervisor a technical demand higher than that reflected in the base level. For example, a position which is above the base level because of the personal stature and outstanding competence of the incumbent, because of sharing in the work of the supervisor, or is otherwise at a higher level because of the "impact on the job" of the particular incumbent, and *which does not* actually require of the supervisor a significantly higher technical capability than that needed for base level supervision does not merit credit under this element.

Therefore, special technical demand may be credited when *both* of the following conditions are present:

- (a) There is at least one subordinate full-time position, at a level above the base level of work, whose incumbent performs, as a major part of his work, nonsupervisory substantive work for which the incumbent of the position being evaluated is technically responsible.
- (b) The nonsupervisory substantive work concerned actually imposes on the supervisory position being evaluated a technical ability and knowledge requirement significantly higher than that needed to review work at the base level.

Subordinate positions considered in connection with this element could be either supervisory or nonsupervisory. However, it is only the *nonsupervisory* work performed by subordinates of the position being evaluated that enters into the evaluation under this element.

Other Special Elements

If there is some other special element which warrants consideration under Factor IV, it may be credited if it meets *all* of the following criteria:

- (a) It involves difficulties clearly comparable to those associated with elements 1 through 3 above.
- (b) It is directly associated with getting work accomplished through others; i.e., it clearly involves a "supervisory" aspect.
- (c) It is *not* already reflected or measured in Factors I, II and/or III, or in another special element already credited.

Grade Determination

The nature and scope of this guide precludes a simple and direct conversion of factor evaluations to a final grade evaluation. The final grade is determined systematically through an evaluation of the several factors as well as through an application of considerable judgment in addition to that applied in the factor evaluations.

Comprehensive evaluation

In the grade-determination process explained below, before the full increment associated with a tentative grade or an additional grade is credited, a comprehensive evaluation should be made of the total situation affecting the difficulty and responsibility of directing the work involved. A comprehensive evaluation should include consideration of the following:

1. The extent to which the position involves any of the matters with managerial aspects described in this guide.
2. The existence of weakening elements, such as extensive review and highly centralized controls in some areas which may counterbalance some strengths. (In this connection, consider the number and actual impact of supervisory and management levels between the position and the bureau or national headquarters level.)
3. Alignment with *properly classified* positions with comparable or higher management responsibilities in the *same* administrative hierarchy.
4. The number and kinds of special elements recognized in Factor IV.
5. The particular grade level of the "Tentative Grade" and the magnitude of the band of difficulty and responsibility represented by that grade level relative to other grade levels in the GS-9 to GS-15 range.

(Keep in mind that the GS-15 grade level represents a wider band or range of difficulty and responsibility than GS-14, GS-14 a wider band than GS-13, etc. Therefore, correspondingly greater additional difficulties and responsibilities are required for a GS-15 to be higher than the Tentative Grade than are required for a GS-14, and greater

additional difficulties and responsibilities are required for a GS-14 to be higher than the Tentative Grade than are required for GS-13, etc.)

Determining the grade for Degree B positions

Tentative grade.—The tentative grade for a Degree B position is one level¹ above the base level of work identified in Factor I.

Final grade.—If the comprehensive evaluation identified no significant offsetting weaknesses or no significant additional strengthening managerial or other aspects, the tentative grade is the final grade. If the comprehensive evaluation identified offsetting weaknesses or otherwise indicated that a full increment to the base level of work is not warranted (see Items 2, 3, and 5), the final grade is the same grade as the grade of the base level of work supervised, or is at an intermediate grade (e.g., GS-10), if available.

On the other hand, the possibility may be explored of a final grade two levels¹ above the base level of work if the comprehensive evaluation identified significant strengthening conditions (see Items 1, 3, 4, and 5 above), and included one or more of the following items:

- The element "Special Technical Demand" in Factor IV is recognized.
- There are at least two special elements recognized under Factor IV, exclusive of "Special Technical Demand."
- The position has "significant managerial aspects" as defined in Factor III.

The final grade is the one which best expresses the worth of the position as a result of the comprehensive evaluation.

Determining the grade for Degree A positions

Tentative grade.—The tentative grade for a Degree A position is two levels¹ above the base level of work identified in Factor I.

Final grade.—If the comprehensive evaluation identified no significant offsetting weaknesses or no significant additional strengthening managerial or other aspects, the tentative grade is the final grade. If the comprehensive evaluation identified offsetting weaknesses or otherwise indicated that a full two-level increment to the base level of work is not warranted (see Items 2, 3, and 5), the final grade is one level¹ above the base level of work identified in Factor I. If the comprehensive evaluation identified significant strengthening conditions (see Items 1, 3, 4, and 5), and if these conditions included one or more of the following, the possibility may be explored of a final grade three levels¹ above the base level of work identified in Factor I.

- There are at least two special elements recognized under Factor IV, exclusive of "Special Technical Demand."

¹ Note: A level equals the grade interval between grades in the normal progression in the two-grade interval structure below GS-10 (e.g., GS-5, 7, 9). At grade level GS-10 and above, one level equals one grade and two levels equal two grades (i.e., GS-10, 11, 12, etc.). Thus, a supervisory position would be placed at GS-11 if one level above and at GS-12 if two levels above the base level of work credited at GS-9 or GS-10.

- The position has “significant managerial aspects” as defined in Factor III.
- The position involves supervision of a unit with a workload which requires, under effective management conditions, substantially more than 30 employees engaged in professional, technical, or administrative work.

The final grade is the one which best expresses the worth of the position as a result of the comprehensive evaluation.

General Provisions

Grades above GS-15

No position may be classified higher than GS-15 by an agency *solely* on the basis of the grade-evaluation plan of this guide. Generally, positions above GS-15 must have prior classification approval of the Civil Service Commission. In submitting requests to the Civil Service Commission for approval of supervisory positions in GS-16, 17, or 18, departments and agencies should include in their evaluation statements a full and detailed analysis of the position in terms of the factors and evaluations procedure required by this guide, in addition to any other material required to justify the specific grade proposal.

Special documentation requirement

Wherever the final grade is higher than the tentative grade, the position description should reflect the basis for such a determination and the specific adjustment factors used should supplement the description.

Appendix

Qualification Standard for Supervisory Positions in General Schedule Occupations (GS-15 and Below)

Introduction and Coverage

The success of any organization is directly related to the capacity and skill of the supervisors, line managers, and executives who make the decisions and direct and lead others in the accomplishment of the organization's mission. It is natural then that selection of competent supervisors is a primary and continuing concern of every effective organization. To achieve the selection of able supervisors, this qualification standard prescribes minimum requirements for supervisory positions and provides guidance for evaluating the qualifications of candidates for such positions.

The standard makes clear that supervisory positions may be staffed with persons who have not had specific supervisory experience provided they meet criteria of essential supervisory or managerial aptitudes. It provides guidance in the qualitative evaluation of these aptitudes. The standard also emphasizes the necessity for and importance of supervisory training either before, or at the earliest possible time after applicants are selected to fill supervisory positions.

To meet future staffing needs for supervisory positions, some organizations may identify a number of candidates with supervisory potential and provide appropriate training for them. The provisions of this standard are to be applied in the evaluation and selection of those persons who are to receive training intended to equip them for supervisory responsibilities. The satisfactory completion of supervisory training is to be given appropriate weight in evaluating the overall supervisory or managerial capabilities of candidates for positions covered by this standard.

The provisions of this standard apply to all supervisory positions in grade GS-15 and below.

Specific guidance in the form of a procedure for identifying the requirements of supervisory positions and assessing candidates' potential for such supervisory positions is in Suggested Methods for Analyzing Job Requirements and Evaluating Candidates, below. This method, or one which is equivalent in scope and thoroughness, must be used in staffing supervisory positions.

Kinds of Supervisory Positions

Differences in supervisory assignments reflect differences in programs, staffing patterns, or other organizational or operational requirements. They result from decisions of higher management on the way in which supervisory or managerial authority and responsibility are to be delegated and carried out in the various programs and organizations. However, some responsibilities, such as assigning and reviewing work and training and evaluating employees, are common to all supervisory assignments.

This standard deals with elements of supervisory or managerial assignments that are typical of various kinds of supervisory positions. The following discussion describes the characteristics common to supervisory assignments at first, second, and higher supervisory levels.

First level supervisors are key links in the management chain. They are the focal points in communicating the policies and objectives of management to nonsupervisory employees. They stimulate, motivate, and instill a sense of participation in employees in achieving management's goals. They communicate the suggestions, ideas, and opinions of employees to higher management. They promote efficient and economical operations and are responsible for the quantity and quality of work produced. They are alert to the interests of outside groups. They insure that their employees provide good service to the public.

First level supervisors:

1. Are responsible for the quality and quantity of work produced by employees under their supervision;
2. Participate in selection and train and evaluate employees;
3. Plan, organize, assign, and review work;
4. Provide guidance and make decisions in technical and administrative matters;
5. Adjust work schedules to meet new requirements or unforeseen situations;
6. Hear and respond to employee or employee-group suggestions, dissatisfactions, or grievances and take appropriate action;
7. Coordinate the work of the unit supervised with that of other units; and
8. Provide higher level supervisors with current information on work operations and employee views and opinions.

Supervisors at second and higher levels serve as bridges between subordinate supervisors and higher management. They are the keystones in communicating the concept and spirit of the agency's program goals and objectives, both within and beyond the confines of the organizations they manage. They translate management goals and objectives into effective operations. They set the tone for program operations and activities.

Supervisors at second and higher levels typically are involved in most, or all of the first level supervisory functions outlined above. In addition they:

1. Identify new developments or issues which call for new actions and make or participate in decisions on the operations directed;
2. Carry out or direct basic planning for prospective changes in functions or programs;

3. Make decisions or recommendations on the expenditure or available resources;
4. Define and delegate authority to subordinate supervisors;
5. Establish and monitor production goals or program priorities and controls, and evaluate progress and results;
6. Coordinate the work of the units supervised with associated activities and, when appropriate, with the general public; and
7. Represent management in dealing with employee grievances and complaints, or matters relating to labor-management cooperation.

Minimum Qualification Requirements

To be eligible for consideration, candidates for supervisory positions must meet the following requirements:¹

Supervisory or Managerial Abilities

Candidates must have demonstrated in their work experience or training that they possess, or have the potential to develop, the qualities of successful supervision, as listed under the appropriate category below.

The qualities listed for first level supervisory positions and for positions at second and higher supervisory levels are not mutually exclusive. For example, some first level supervisory positions may also require certain of the abilities described for second and higher level supervisors, or the potential to develop these abilities. Decisions on the appropriate minimum supervisory qualities should be based on actual job requirements.

1. First level supervisory positions

- a. Ability to motivate, train, and work effectively with subordinates who have a variety of backgrounds and training.
- b. Ability to accomplish the quality and quantity of work expected within set limits of cost and time.
- c. Ability to plan own work and carry out assignments effectively.
- d. Ability to communicate with others effectively both orally and in writing in working out solutions to problems or questions relating to the work.
- e. Ability to understand and further management goals as these affect day-to-day work operations.
- f. Ability to develop improvements in or design new work methods and procedures.

2. Supervisory positions at second and higher levels

In addition to the abilities required for first level supervisory positions, candidates for supervisory positions at second and higher levels must possess, or have the potential to develop, the following:

- a. Ability to deal effectively with persons representing widely divergent backgrounds, interests, and points of view.

¹ Many supervisory positions have specific subject-matter knowledge and skill requirements which candidates must also meet; normally, these subject-matter requirements are in the qualification standard appropriate to the position to be filled.

- b. Ability to adjust work operations to meet emergency or changing program or production requirements within available resources and with minimum sacrifice of quantity or quality of work.
- c. Ability to establish program objectives or performance goals and to assess progress toward their achievement.
- d. Ability to coordinate and integrate the work activities of several organizational segments or several different projects.
- e. Ability to analyze organizational and operational problems and develop timely and economical solutions.
- f. Ability to represent the activity both within and outside the organization or agency and to gain support for the agency's program goals.

Personal Attributes

The attributes listed below are important to success in supervisory or managerial positions at all supervisory levels. Accordingly, candidates for all supervisory positions must demonstrate all of the following personal qualities;

1. Objectivity and fairness in judging people on their ability, and situations on the facts and circumstances;
2. Capacity to adjust to change, work pressures, or difficult situations without undue stress;
3. Willingness to consider new ideas or divergent points of view;
4. Capacity to see the job through.

Examples of Assignments Which Provide Opportunity To Demonstrate Necessary Abilities and Attributes

The skills, abilities, and personal attributes described above may have been demonstrated in many types of *either* supervisory or nonsupervisory work assignments. The following examples show the kinds of nonsupervisory assignments in which candidates may have acquired or demonstrated some of the skills and abilities identified earlier as necessary for supervisory positions.

1. For first level supervisors
 - a. Assignments which involved providing guidance and training to new employees.
 - b. Project leader assignments which involved coordinating and integrating the work of others into a completed work product.
 - c. Assignments which required the candidate to work closely with others to resolve problems, coordinate activities, or gain acceptance of a product or procedure.
 - d. Assignment as a troubleshooter or source of advice to others regarding the work of the unit or organization.
 - e. Assignments which involved devising new work methods and procedures or improvements in existing work practices, and getting the cooperation of employees in applying the new methods and practices.
2. Second and higher level supervisors
 - a. Assignments which required the candidate to devise ways to accommodate work operations to new and changing programs or

requirements, such as studies of work practices and procedures, staffing, and budget requirements and similar matters.

b. Assignments which included extensive work with other Federal organizational units, or with State, local, or private activities and which required the candidate to represent and explain program or project goals, or to coordinate and complete projects.

c. Assignments which involved one or more of the following complications: (1) Controversial issues, i.e., disagreements on program requirements, policy positions, or operating procedures; (2) strong public interest; or (3) last minute changes requiring extensive coordination.

d. Assignments to positions, task forces, planning, or special study groups which involved substantive work in (1) planning for new programs, (2) reviewing program operations to develop or improve methods, procedures, or controls, or (3) bringing about major changes in program operations and procedures, when such assignments have required exploring the management, organizational, and program issues involved and appraising alternative courses of action.

Technical Requirements

In addition to meeting the requirements outlined above, candidates for many supervisory positions must meet the minimum kind, length, and level of experience required for the occupation and grade in which the position is classified. These requirements are in CSC Handbook X-118 or in the qualification standard approved for positions unique to one agency.

When the nature of the position to be filled warrants it, the technical requirements should be interpreted broadly. For example, if the position involves supervision of more than one kind of work, and no one kind clearly predominates, candidates may meet the minimum technical requirements if their backgrounds clearly show that they possess the knowledges, skills, and abilities needed in the occupation in which the position is classified, or in two or more of the kinds of work supervised.

Further, for many positions, supervisory or program management skills are more significant to success than technical expertise in a particular subject-matter field. In such a situation undue emphasis on technical skills could result in the selection of mediocre supervisors. Accordingly, closely related experience should be accepted as qualifying when the total background of the candidate demonstrates strong, affirmative evidence that he:

1. Has the necessary level of supervisory or managerial skills, abilities, and attributes to perform the work successfully and

2. Possesses the necessary level of professional or technical competence for the supervisory position being filled.

A full discussion of this staffing flexibility is in the guidelines for evaluating specialized experience, Crediting Experience, in section II, part II of CSC Handbook X-118.

In addition, the technical requirements for certain supervisory or managerial positions may be met by the appropriate use of training and

executive development agreements. A full discussion of training and executive development agreements is in chapter 412 of the Federal Personnel Manual.

Evaluating Candidates' Potential for Supervisory Positions

Many of the qualities required for success in supervisory positions are separate and distinct from those which make for high quality performance in nonsupervisory assignments. It is necessary to use several sources to get information essential for evaluating the potential of candidates for supervisory positions. Not every information source has to be used in evaluating candidates for every supervisory position. The sources selected should be those most appropriate to the requirements of the position to be filled. Among the sources of information available are:

1. A review of the candidate's education, training, and experience;
2. A review of information in his personnel records (e.g., commendations, awards, disciplinary actions);
3. Performance appraisals by his supervisors (past and present);
4. Assessments of potential for supervisory positions;
5. Qualifications investigations;
6. Interviews; and
7. Written tests.

Some of these sources are more suitable for measuring certain characteristics than they are for measuring others; normally, it is desirable to use several sources and techniques in the evaluation process. Some appraisal techniques and sources are discussed below. These and other appraisal methods and their application are discussed in some detail in the Guide to the Evaluation of Employees for Promotion, appendix A, part II of CSC Handbook X-118.

As provided in chapter 335 of the Federal Personnel Manual, individual agency promotion plans or announcements should indicate the evaluation techniques to be applied in the ranking process for the supervisory position to be filled.

Interviews

Where possible, individual or group interviews are a highly desirable part of the supervisory selection process. Interviews such as these can provide considerable information about the candidate's attitudes toward, and knowledge of, supervisory or managerial processes and problems, and his skill in interpersonal relationships.

Written Tests

No written test is required. When an agency wishes to use a written test as an additional measure of supervisory ability or potential, it must follow the requirements in FPM chapter 335 on the use of written tests in promotion actions.

Qualifications Investigations

The use of qualifications investigations may be especially desirable for

key supervisory and managerial positions. As part of these investigations a skilled investigator personally interviews persons likely to have first-hand knowledge about the skills, knowledges, abilities, and potential of the candidates, as demonstrated through his prior work performance.

These investigations offer the important advantage of developing information that is not likely to be covered in a reference inquiry or voucher, or to be shown in the usual employment history. In addition, biased views (either favorable or unfavorable to the candidate) are more likely to be balanced out by careful face-to-face questioning and by the investigator's objectivity.

Qualifications investigations should be conducted only on persons in the highly qualified group. They are not needed when the selecting officials have available information equivalent to that developed as a result of the qualifications investigation.

Area of Consideration and Selective Placement

Most supervisory and line program management positions are filled through promotion or reassignment. The importance of these positions warrants that (where appropriate and feasible under merit promotion policy) the search for quality candidates extend beyond the confines of the organizational unit in which the vacancy exists. When candidates are also sought from outside the Federal Service through the competitive examining process, agencies are encouraged to emphasize selective placement factors such as experience in program or production planning, and in requesting the names of qualified persons. These requests should include a copy of the current position description and selective criteria derived from a qualifications analysis of the type described below.

The search for quality candidates should extend over the broadest possible occupational and organizational area consistent with the requirements and timely staffing of the position. The provisions of this standard are not intended to abrogate commitments to employees who are assigned to broad managerial or executive training programs under Civil Service Commission-approved training agreements. The provisions of this standard should be applied in selecting persons to enter these training programs; it should also prove useful in assessing the progress and relative success of those being trained.

Suggested Method for Analyzing Job Requirements and Evaluating Candidates

The guidance material that follows provides a method for (1) determining job requirements and (2) assessing candidates' potential for supervisory positions. It includes a suggested form for recording judgments about the job and the candidate and provides a means of screening persons for selection as supervisors. It is designed for use in any kind of personnel action (e.g., merit promotion, lateral reassignment, appointment from register) and can be used in filling any type of supervisory or managerial position at any grade level.

It is not necessary to use this method or the form exactly as presented here. Any part of these materials may be modified and adapted as necessary, provided that the modified method results in an identification

of job requirements and an appraisal of candidates which is equivalent in scope and thoroughness to that which would be achieved through the use of the method described below.

Determining Job Requirements

The procedure outlined for determining the requirements of supervisory positions is designed to assure that the elements essential to success are given appropriate weight in the evaluation of candidates. These determinations need not be made on an individual position basis. For those supervisory positions which are substantially alike, decisions on job requirements can be applied to all like positions. Further, these requirements, once established, need not be revised until the basic characteristics of the position change.

All supervisory positions share some common requirements, such as the ability to get work done through others. However, the particular knowledges, skills, and abilities essential to supervisory success vary in kind and in importance from one supervisory position to another. These variations reflect differences in agency programs and operations, such as differences in (1) the kind of work operations supervised, (2) the place of the position in the management hierarchy, and (3) the goals and objectives of higher management.

1. The kind of work operations supervised or programs managed

Many supervisory positions require specialized professional, technical, administrative or clerical subject-matter knowledge and experience. The depth and variety of these knowledges must be established to determine:

- a. The degree to which one or more specialized knowledges are essential, and
- b. The relative weight which should be given to these knowledge requirements in the overall appraisal of candidates.

2. The role and level of the position in the managerial hierarchy

The role of the position in the managerial hierarchy may be a clue to the relative importance of job requirements. All supervisory positions demand considerable skill in interpersonal relationships in guiding and controlling day-to-day work operations and dealing with employees supervised. However, for supervisory positions at the higher levels, demands such as the ability to translate management goals and objectives into well-coordinated and controlled work operations or the ability to establish and monitor production or performance priorities may assume additional importance.

Some supervisory positions are clearly identified as stepping stones to key level executive positions. For these positions, candidates should not only meet fully the requirements of the position to be filled but also should possess the potential for further growth and development.

3. The goals and objectives of higher management, as these relate to the activities to be supervised

Management's expectations play an important part in determining the supervisor's role in the total work effort of the organization. These

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3 The goals and objectives of higher management, as these relate to the activities to be supervised

Management's expectations play an important part in determining the supervisor's role in the total work effort of the organization. These

expectations are reflected in the amount and kind of authority and responsibility delegated to the position which, in turn, affect the skills and abilities required to do the work successfully. To be sure that these expectations are clearly understood and taken into account in evaluating candidates it is highly desirable (especially for higher level positions) that the management official directly responsible for the activity in which the position exists participate in identifying the qualifications required.

In determining the total requirements for supervisory positions the occupational information in both the classification and qualification standards for the specific occupation involved should be considered. They provide an excellent source for added insights into the kinds of experience which should be considered in the supervisory selection process.

Additional guidance material for use by management and personnel officials in developing specific supervisory or managerial qualification requirements may be found in CSC Handbook X-118, Guide to Evaluation of Employees for Promotion (appendix A to part II).

Assessing Candidates' Potential for Supervisory Positions

The form for qualifications analysis and assessment of potential which follows is designed to facilitate recording judgments relating to a candidate's potential for success in the supervisory position to be filled. It is not designed to replace a supervisory appraisal of past performance in the candidate's present assignment.

Many of the supervisory or managerial elements known to be important to these positions are listed as supervisory abilities on the form. Obviously, every item listed is not significant in every job. The elements in the form that are used for a specific position should be those essential for successful performance in that position. For each ability statement finally decided upon, the degree of importance to the position should be recorded according to the instructions for determining job requirements on the attached form.

It is neither feasible nor necessary to use this form or its equivalent for every job at every level. It may, however, be a particularly valuable source of appraisal information in screening candidates for higher level supervisory or managerial positions.

If this form is used, judgments should be obtained from a sufficient number of persons to provide a rounded picture of each candidate. Normally, this involves selecting a few persons who know the candidate's work and behavior well, and asking each rater to (1) rate each item according to the instructions on the form, (2) indicate the type of work association he has had with the candidate, and (3) indicate the length of that association.

The qualification analysis and assessment of potential may be used in a number of ways. As one example, candidates could tentatively be placed in one of three groups, e.g., highly qualified, fully qualified, or qualified on the following basis:

1. The highly qualified group could include candidates who have been rated in the first column, which indicates "True of him" on important or

essential items, and in the second column, i.e., "More true than false" on the remainder of these items.

2. The fully qualified group could include those who have been rated in columns C and D on important or essential items and in Column E on the items marked as desirable.

3. The qualified group could include all others.

The form may also be used as a convenient way of summarizing data gathered from all other sources used in the evaluation process. Provided it is current, information about a candidate, once obtained for a given supervisory position, may be used in considering that candidate for other supervisory positions having similar characteristics and requirements.

Screening and Ranking Candidates

The final ranking of candidates never should be based solely on the method described in the preceding paragraphs for arriving at a qualifications analysis and assessment of potential. This method is designed to provide a tentative ranking. The final grouping or ranking of candidates should take into account and balance off the strengths and weaknesses of candidates as revealed by the other appropriate sources of information, *in relation to the total requirements of the position to be filled*. Decisions on screening, ranking, and selecting candidates should be based on a careful evaluation of all information available about all candidates. In this process particular attention should be directed to education, training,¹ or experience that has provided candidates with a grasp of supervisory or managerial theories, techniques, and practices.

¹ If the person selected has not had previous supervisory experience or training, it is highly desirable to provide supervisory training at the earliest possible date. For specific requirements for first level-supervisory positions, see chapter 335 of the Federal Personnel Manual, subchapter 3, section 3-8b, training for first-level supervisors.

Qualifications Analysis and Assessment of Potential for Supervisory Positions

Name of candidate	Position	Grade
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1. Instructions for determining job requirements: Complete column A by entering "D" for an ability which is desirable; "I" for an ability which is important for acceptable performance; or "E" for an ability which is essential for top quality performance.

2. Instructions for recording judgments of candidate's potential for supervisory positions: Mark that column C through F which best expresses from your firsthand knowledge, your judgment of the probability of the candidate's success in the position to be filled. If your knowledge of the candidate's ability or potential was learned from someone else, mark column F, Don't Know.

Importance of ability	Supervisory abilities and traits	True of him	More true than false	More false than true	Don't know
(A)	(B)	(C)	(D)	(E)	(F)
	1. Supervisory Abilities				
	The candidate would:				
	a. Define assignments or projects clearly				
	b. Plan and carry out assignments effectively				
	c. Delegate authority and responsibility and work with and through others effectively				
	d. Instruct, guide, and review the work of others effectively				
	e. Establish and maintain high standards of quality and quantity for the work produced				
	f. Be fair and objective in dealings with and judg- ments of subordinates				
	g. Understand the theories and techniques of sound personnel management in dealing with employ- ees, both individually and in groups				
	h. Motivate, train, develop, and guide employees of varied backgrounds and skill levels effectively .				
	2. Organization and Management Abilities				
	The candidate would:				
	a. Devise or organizational plans and procedures				
	b. Establish program objectives or performance goals and assess progress toward their achieve- ment				
	c. Adjust work activities and schedules to meet emergency conditions or unanticipated require- ments				
	d. Understand, interpret, and gain support for man- agement goals and objectives				
	e. Develop methods and procedures ..				
	f. Coordinate and integrate the work of subordinate employees or organizational segments effec- tively ..				
	g. Resolve organizational, management, person- nel, and technical problems ...				

Importance of ability (A)	Supervisory abilities and traits (B)	True of him (C)	More true than false (D)	More false than true (E)	Don't know (F)
	3 Ability To Make Recommendations and Decisions The candidate would: a Absorb new facts and concepts quickly b Analyze complex issues or problems thoroughly and quickly c Keep organizational objectives in mind d Assess the advantages and disadvantages of alternative plans or courses of action e Make sound decisions, e.g., based on past experience, present effort, and future outcome f Accept responsibility				
	4 Communications Abilities The candidate would: a Communicate effectively with management, employees, and (where appropriate) employee groups b Foster an attitude of responsive service to the public c Be skillful in oral and written communications d Maintain poise, handle controversial or delicate matters skillfully e Persuade others to consider and accept his position or point of view f Communicate effectively with individuals or groups with different backgrounds, levels of educational attainment and personal, program, or organizational aims and interests				
	5 Personal Attributes The candidate would: a Adjust to change, work pressure, or difficult situations without undue stress b Be able and willing to judge people and situations on the facts c Consider new ideas or divergent points of view d Have a positive outlook toward the work and the employing organization e Have confidence in his own ability f Have the courage of his convictions				
Your relationship with candidate: a. Employer or superior b. Fellow employee c. Other (specify)		From—	To—	Your present position or title: Signature _____ Date _____	

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